

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 12-2004)

ATTORNEY'S DOCKET NUMBER

18803

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**10/530137**

INTERNATIONAL APPLICATION NO.

PCT/AU2003/001303

INTERNATIONAL FILING DATE

3 October 2003 (03.10.2003)

PRIORITY DATE CLAIMED

4 October 2002 (04.10.2002)

TITLE OF INVENTION

NEUROLOGICALLY-ACTIVE COMPOUNDS

APPLICANT(S) FOR DO/EO/US

Kevin Jeffrey Barnham, Elisabeth Colette Louise Gautier, Gaik Beng Kok and Brenda Kwan Yi Leung

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. **EV213900003US**
23. ☒ Other items or information:

A courtesy copy of International Application

Five (5) sheets of drawings

Assignee: PRANA BIOTECHNOLOGY LIMITED of Parkville, Victoria, Australia

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <div style="font-size: 2em; font-weight: bold; text-align: center;">10/530137</div>		INTERNATIONAL APPLICATION NO. <div style="font-weight: bold; text-align: center;">PCT/AU2003/001303</div>		ATTORNEY'S DOCKET NUMBER <div style="font-weight: bold; text-align: center;">18803</div>											
24. The following fees are submitted: <input checked="" type="checkbox"/> a) Basic national fee ..... \$300.00 <input checked="" type="checkbox"/> b) Examination fee ..... \$200.00 <input checked="" type="checkbox"/> c) Search fee ..... \$400.00 <div style="text-align: right; font-weight: bold;">TOTAL OF ABOVE CALCULATIONS = \$900.00</div>				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">Applicant use</th> <th style="width: 50%;">Office use</th> </tr> <tr> <td>\$300.00</td> <td></td> </tr> <tr> <td>\$200.00</td> <td></td> </tr> <tr> <td>\$400.00</td> <td></td> </tr> <tr> <td>\$900.00</td> <td></td> </tr> </table>		Applicant use	Office use	\$300.00		\$200.00		\$400.00		\$900.00	
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<input checked="" type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.															
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE												
177 - 100 =	77 /50 =	2	x \$250.00												
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">Applicant use</th> <th style="width: 50%;">Office use</th> </tr> <tr> <td>\$130.00</td> <td></td> </tr> </table>		Applicant use	Office use	\$130.00							
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CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE												
Total claims	36 - 20 =	16	x \$50.00	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">Applicant use</th> <th style="width: 50%;">Office use</th> </tr> <tr> <td>\$800.00</td> <td></td> </tr> </table>		Applicant use	Office use	\$800.00							
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Independent claims	2 - 3 =	0	x \$200.00	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">Applicant use</th> <th style="width: 50%;">Office use</th> </tr> <tr> <td>\$0.00</td> <td></td> </tr> </table>		Applicant use	Office use	\$0.00							
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MULTIPLE DEPENDENT CLAIMS (if applicable) <input checked="" type="checkbox"/> + \$360.00				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">Applicant use</th> <th style="width: 50%;">Office use</th> </tr> <tr> <td>\$360.00</td> <td></td> </tr> </table>		Applicant use	Office use	\$360.00							
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<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">Applicant use</th> <th style="width: 50%;">Office use</th> </tr> <tr> <td>\$1,345.00</td> <td></td> </tr> </table>		Applicant use	Office use	\$1,345.00							
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Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">Applicant use</th> <th style="width: 50%;">Office use</th> </tr> <tr> <td>\$0.00</td> <td></td> </tr> </table>		Applicant use	Office use	\$0.00							
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<div style="text-align: right; font-weight: bold;">TOTAL NATIONAL FEE =</div>				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">Applicant use</th> <th style="width: 50%;">Office use</th> </tr> <tr> <td>\$1,345.00</td> <td></td> </tr> </table>		Applicant use	Office use	\$1,345.00							
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Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">Applicant use</th> <th style="width: 50%;">Office use</th> </tr> <tr> <td>\$0.00</td> <td></td> </tr> </table>		Applicant use	Office use	\$0.00							
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<div style="text-align: right;">Amount to be refunded:</div>				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">Applicant use</th> <th style="width: 50%;">Office use</th> </tr> <tr> <td></td> <td>\$</td> </tr> </table>		Applicant use	Office use		\$						
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<div style="text-align: right;">Amount to be charged:</div>				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">Applicant use</th> <th style="width: 50%;">Office use</th> </tr> <tr> <td></td> <td>\$</td> </tr> </table>		Applicant use	Office use		\$						
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a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>\$1,345.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is _____ c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>19-1013/SSMP</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.															
<b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.															
SEND ALL CORRESPONDENCE TO: Leopold Presser Reg. No. 19,827 SCULLY, SCOTT, MURPHY & PRESSER 400 Garden City Plaza - Ste. 300 Garden City, NY 11530 EWG/LP:jam															
SIGNATURE  Leopold Presser NAME 19,827 REGISTRATION NUMBER															

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **Kevin Jeffrey Barnham, et al.****10/550137**  
Docket No.  
18803Application No.  
UnassignedFiling Date  
HerewithExaminer  
UnassignedCustomer No.  
23389Group Art Unit  
UnassignedInvention: **NEUROLOGICALLY-ACTIVE COMPOUNDS**

I hereby certify that the following correspondence:

New U.S. Application Under 35 U.S.C. 371

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

April 4, 2005*(Date)*Leopold Presser*(Typed or Printed Name of Person Mailing Correspondence)*  
*(Signature of Person Mailing Correspondence)*EV213900003US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**